

APPLICANT'S ART CITATION (Use several sheets if necessary)								Application Not Yet Known				OFGS File No. P/3331-323							
								Applicant Edward R. Howorka											
								Filing Date Herewith				Group Art Unit --							

10978 U.S. PTO
 09/27/86
 08/10/01

U.S. PATENT DOCUMENTS														
Examiner Initial	Document Number								Date	Name	Class	Sub-class	Filing Date If Appropriate	
JG	6	0	1	4	6	2	7	1/2000	Togher et al.	705	1			
	4	4	1	2	2	8	7	10/1983	Braddock, III	364	408			
	5	1	3	6	5	0	1	08/1992	Silverman et al.	364	408			
	5	2	7	0	9	2	2	12/1993	Higgins	364	408			
	5	2	9	7	0	3	2	03/1994	Trojan et al.	364	408			
	5	3	7	5	0	5	5	12/1994	Togher et al.	364	408			
	5	7	1	7	9	8	9	02/1998	Tozzoli et al.	705	37			

FOREIGN PATENT DOCUMENTS														
	Document Number								Date	Country	Class	Sub-class	Translation	
													Yes	No

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
JG	1.	C. Howe, "Wiring the World," Datamation; p. 58 (10/01/1984)
	2.	Merrill Lynch's Network Add-On Makes Bid as a National Market Entry," Data Communications; p. 20 (12/1979).
	3.	J. Seligman, "Another Unspecial Study: the SEC's 'Market 2000' Report and Competitive Developments in the United States Capital Markets. (Symposium on the Regulation of Capital Markets)," Business Lawyer; vol. 50, no. 2; pp. 485-526 (2/1995).
	4.	P.S. Duggal, "Hummingbird's Shares Now Trade in NASDAQ National Market," PR Newswire; p. 425 (4/1994).
	5.	M. Beauchamp, "Individual Investor Orders Would be Displayed in Best Quote on NASDAQ Under New Proposal," PR Newswire; p. 925 (9/1995).
	6.	"Another First for Pro-Fac Cooperative: Preferred Stock Approved for NASDAQ," PR Newswire; p. 823 (8/1995).
	7.	J. Hodges, "NASDAQ Launches the Small Order Execution System, for Rapid Execution of Trades of up to 500 Shares," PR Newswire (12/1984).
	8.	J.P. Bunting, "The Changing Securities Game," Management Review; vol. 79, no. 1; p. 64 (1/1990).
	9.	"QTC Trading Systems Lead in Race to Automate (the National Association of Securities Dealers NASDAQ National Market System Handles the Top 2,610 Over-the-Counter Stocks)," Wall Street Computer Review; vol. 8, no. 2; pg. 31(5) (11/1990).

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JG	10.	S. O'Henev, "Can Image Processing Preclude Paper?" (Includes related article on desktop publishing). Computers in Banking; vol. 5, no. 9; p. 32(5) (9/1998).								
	11.	I. Schmerken, "The Electronic Broker that Could (Charles Schwab and Company Inc., Schwab Architecture Migration Strategy Upgrade Project)," Wall Street Computer Review; vol. 8, no. 12; p. 42(5) (9/1991).								
	12.	"Automatching Fully Live on Hong Kong Exchange," Financial Technology Insight; p. N/A (4/1994).								
	13.	N. Cohen, "Competition Comes to Market: SIB's Report Sets out a Blueprint for a New Regulatory Structure in London," Financial Times London Edition; p. 17 (6/1995).								
	14.	M. Beauchamp, "Individual Investor Orders Would be Displayed in Best Quote on NASDAQ Under New Proposal," PR Newswire; p. 925 (9/1995).								
	15.	P. Bonner, "Do-It-Yourself: Windows Broker; PC Computing; vol. 4, no. 6; p. 172(8) (6/1991).								
	16.	L.P. English, "The New Object Databases at Work," DBMS; vol. 7, no. 3; p. 66(7) (3/1994).								
	17.	K. Yamada, "Integrator Digitizes Stock Trading Transaction Using PDA Technology," Computer Reseller News; no. 638; p. 6 (7/1995).								
	18.	K. Corcella, "Tomorrow's Tools of the Trade," Wall Street & Technology; vol. 10, no. 11; p. 50 (6/1993).								
	19.	R.D.R. Hoffmann, "A Margin for the Electronic Broker," Personal Computer, p. 90(3) (10/1989).								
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					Country	
					Class	
					Sub-class	
					Translation	
					Yes	No
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)						
JG	20.	K. Corcella, "Packing Proprietary System for Overseas," Wall Street & Technology; vol. 11, no. 12; p. 14 (4/1994).				
	21.	K.G. Golden, "Toronto's Perpetual Project," Wall Street & Technology; vol. 12, no. 9; p. 18(3) (3/1993).				
	22.	L. Barney, "Will the Futures Industry Live Up to its Standard?" Wall Street & Technology; vol. 12, no. 15; p. 28(5) (6/1993).				
	23.	S. Gibbel, "Web Ad networks Give Marketers a New Option," NETmarketing (9/1996).				
	24.	S. Schoonmaker, "Trading On-Line: Information Flows in Advanced Capitalism," The Information Society; vol. 9, no. 1; pp. 39-49 (1/1993).				
	25.	M.J. Lennon, "United States Patent Rights in Financial Services Software," Computer Law & Practice; vol. 10, no. 1; p. 17 (1/1994).				
	26.	C.S. Holzberg, "Getting Started with Quiken: Part III," PC Novice; vol. 6, no. 5; p. 48 (5/1995).				
	27.	"Cutting the Cost of Trading," Banking World; vol. 7, no. 3; p. 45(3) (3/1989).				
	28.	"Automating Financial Markets," Economist; vol. 314, no. 7645; pp. 19-24 (3/10/1990).				
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